

U.S. DEPARTMENT OF TRANSPORTATION

Finding Number	2015-
CFDA Number	20.205, 20.219, and 23.003 (Includes Recovery Act Funding)
Program Title	Highway Planning and Construction Cluster
Compliance Requirement	Special Tests and Provisions – Quality Assurance Program
State Agency	Florida Department of Transportation (FDOT)
Federal Grant/Contract Number and Grant Year	Various
Finding Type	Opinion Qualification and Material Noncompliance
Finding	The FDOT did not always obtain a Job Guide Schedule (JGS) as required by the Quality Assurance Program for Construction (QAPC) approved by the Federal Highway Administration (FHWA). As a result, the FDOT could not provide documentation demonstrating that required sampling and testing had been performed.
Criteria	<p>23 CFR 637.207 – <i>Quality assurance program</i></p> <p>FDOT QAPC – Materials incorporated into any highway construction project are to be subject to verification sampling and testing and, as required, quality control sampling and testing, in accordance with the JGS.</p> <p>FDOT Standard Specifications for Road and Bridge Construction – Contractors were to submit a final JGS to the FDOT that included all materials used on a project.</p> <p>FDOT Section 5.4 Final Project Material Certification Procedures</p>
Condition	<p>During the 2014-15 fiscal year, the FDOT closed 201 Highway Planning and Construction Cluster funded construction contracts. Prior to closing a contract and issuing a materials certification, the FDOT Materials Office was to review the final contractor-prepared JGS specifying the total quantity of each material used. The FDOT Materials Office then prepared a Project Material Certification Letter which certified that all materials were sampled and tested in accordance with the applicable requirements and listed all known exceptions.</p> <p>Our examination of documentation for 25 closed construction contracts disclosed 6 instances where the FDOT prepared a Project Material Certification Letter, but was unable to provide the associated JGS. As a result, the FDOT could not demonstrate the total quantity of each material used by the contractor, information needed to evaluate whether appropriate sampling and testing had been conducted.</p>
Cause	The FDOT Materials Office did not always obtain from contractors the final JGS as specified by the FHWA-approved quality assurance program.
Effect	Absent the receipt of a JGS, the FDOT cannot demonstrate that the appropriate sampling and testing was conducted based on the total quantity of materials used by the contractor. In addition, the FDOT is not in compliance with the FHWA-approved QAPC.
Recommendation	We recommend that the FDOT obtain a JGS for each construction contract as specified by the QAPC.
State Agency Response and Corrective Action Plan	
Estimated Corrective Action Date	
Agency Contact and Telephone Number	

End of Preliminary and Tentative Audit Findings.